

Test Plan



For

Document Imaging Pilot Project

AGENCY:
MONTANA SECRETARY OF STATE

CONTRACTOR:
Perceptive Software

Scope of Work

The goals of the SOS document imaging/workflow/document management pilot project are to:

1. Identify an alternative, cost-effective system
2. Lower cost of ownership/lease than current system
3. Improved infrastructure/architecture over current system
4. Improved up-time and performance over current system
5. Pilot a document management engine that meets SOS information management requirements.
6. Exercise imaging and workflow prototypes that can help re-engineer Business Services paper-based work processes.

Contractor will provide hosted services and system development for a document imaging, document management and workflow pilot project.

Test Plan

The SOS test plan objective for this pilot project is to exercise the requirements below that were part of the limited solicitation and bid by Perceptive Software. Each requirement will be marked as pass, fail, not applicable (NA), or not verified (?). If additional information or test scripts are required to execute the requirement, those will be contained in a separate document.

REQUIREMENT	PASS/ FAIL	NOTES
A. System Architecture		
1. Images store on redundant disk drives or SAN – no optical jukebox technology.	Pass	
2. Web image retrieval and workflow client is thin or non-existent.	Pass	Thin client
3. Image and metadata are stored in non-proprietary format in SQL or Oracle database, preferably SQL. Metadata must include, but not be limited to:	Pass	Non-proprietary MS SQL
a. Image indexes	Pass	
b. Annotations	Pass	
c. Date/time stamps and other “burned” image stamps	Pass	Check issue with stamp date changing to current date each time document is viewed.
d. External file location identifier for hard copy files, e.g. trademark logos	Pass	
e. Essential record indicator	Pass	Custom attribute
4. Images are compressed in a non-proprietary format to allow for minimal bandwidth consumption. The following image formats must be supported:	Pass	
a. TIFF group 4 (named .osm but standard TIFF)	Pass	
b. PDF	Pass	
c. PDF-A	Pass	
d. JPG	Pass	

REQUIREMENT	PASS/ FAIL	NOTES
5. System must be highly configurable, to allow for business rule creation and change without custom code. For example:	Pass	
a. Document classes, types, and associated metadata	Pass	
b. Image indexing requirements	Pass	
c. Workflow processes, queues, maps, etc.	Pass	
6. Images and metadata from pilot project available for export in non-proprietary format at no cost if requested by SOS.	Pass	
7. Images and metadata from pilot project are proven removed from hosted storage if requested by SOS.	NA	
B. Scanner Hardware (if provided by vendor)	NA	
1. Image capture at minimum 90 ppm throughput	NA	
2. Standard resolution of 300 dpi, with availability to adjust resolution in order to support data transmission and to promote image clarity, throughput, storage efficiency.	NA	
3. Duplex, Auto-size, Auto-feed capability	NA	
4. Black and white/grayscale/color capability	NA	
5. Page Counter/reset capability	NA	
C. Batch Scanning	Pass	
1. Ability to adjust scanning resolution, duplex, etc.	Pass	
2. Ability to enter batch counts (number of pages, etc.)	Fail	Cannot enter batch counts up front, but ImageNow displays page count within batch for verification.
3. Ability to perform quality assurance (image control, image clarity, batch reconciliation)	Pass	
4. Allow for image and data error detection and corrections (de-skew, contrast, deletion, rescan)	Pass	
D. Document Imaging and Workflow Software		
1. Ability to import and export images and metadata in order to transfer images and metadata between different systems or to a new system.	Pass	
2. Ability to define required and non-required indexes and metadata by document type.	Pass	
3. Auto-indexing of images, via code 3/9 barcodes.	Pass	
4. Provide manual indexing of metadata capture fields, such as Folder#, Entity Name, Document Type, Entity ID, file name, etc.	Pass	
5. Ability to prompt user for missing indexes and/or metadata.	Pass	
6. Ability to select pre-defined indexes and/or metadata from drop-down lists.	Pass	
7. Provide image search queries based on index and metadata	Pass	

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fields.		
8. Ability to retrieve, view and print any or all images for an entity based on search query.	Pass	
9. Ability to interface image retrieval and view with Microsoft Outlook to email images.	Pass	
10. Ability for admin to make mass index changes and deletes based on search criteria. (Requires custom script)	Fail	Must be done by database script for mass changes.
11. Ability to log all image and metadata changes and deletes.	Pass	
12. Ability to add annotations to images.	Pass	
13. Ability to define and maintain metadata required for each document type.	Pass	
14. Redaction - The application must incorporate appropriate technology to redact certain information from the image after scanning. Automated redaction capabilities can be form based and/or pattern based, and tools must allow users to perform manual redaction as needed. The original layer document must be retained and all layers of the image must be viewable to those with appropriate rights. (manual copy of original, then redacting, since redaction is burned in org)	Pass	Automated redaction was not part of the pilot project. Manual redaction works.
15. Provide role-based permission levels for all users.	Pass	
16. Demonstrate workflow processes that provide accountability, stability, integrity and protection of data and records.	Pass	
17. Support workflow processes as they relate to records and data creation, access, retrieval, deletion and preservation.	Pass	
18. Support workflow integration with image base	Pass	
E. Information Management Controls		
1. Ability to support file plans based on document type (SOS, Corp, doc type, entity, filing date, etc.)	Pass	Retention policies
2. Ability to support metadata requirements	Pass	Including physical file locations
3. Ability to support document lifecycle management (active, inactive, archived)	Pass	
4. Ability to support retention and storage reporting – Track, perform, and report on retention review and transfer processes and retention migration and refresh processes system-wide:	Pass	Retention columns in ImageNow Explorer
a. Indexes	Pass	
b. Metadata	Pass	
c. Images	Pass	
5. Ability to support migration plan to future technology	Pass	
6. Ability to support preservation cycles	Pass	Approval tasks

REQUIREMENT	PASS/ FAIL	NOTES
a. Upon archival retention tagging, automate refreshment cycle based on retention rule	Pass	
b. Retention based on Document Type (i.e., annual reports, articles of incorporation)	Pass	
c. Retention based on entity status (i.e. dissolved, inactive, etc.)	Fail	Requires mainframe data interface – outside scope of pilot project
d. Essential Records Tagging for back-up and recovery business continuity	Pass	Custom attribute
7. Access and Security Permissions by Roles	Pass	
F. Compliance and Performance Reporting		
1. Image and Metadata Retention, Archive and Deletion Reporting (Corp. records – Dissolution date + 5 years)	Pass	Retention policies
a. Ability to report retention period association at entity level	Pass	
b. Ability to report archival tagging at entity level	Pass	
c. Ability to report on essential record tagging at entity and document level	Pass	
d. Ability to report on image and metadata deletion (retention met, authorization, storage transfer)	Pass	
e. Ability to report permission status per user (read, write, edit, delete)	Pass	
f. Ability to report on growth of image and metadata storage growth based on cycle terms	?	